



IFW

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being mailed in an envelope by First Class mail to:

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

on Jan. 28, 2005

Candice P. Dysart
(Typed or printed name of person mailing
correspondence)

Candice P. Dysart
(Signature of person mailing correspondence)

U.S. Serial Number: **10/767,121**

Filing Date: **January 29, 2004**

Title: **Integrated Optical Multiplexer and Demultiplexer for Wavelength Division
Transmission of Information**

Our Reference Number: **A185 1010.3**

Information Disclosure Statement
Form PTO/SB/08A – 4 pages
Return Postcard



PATENTS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:)
 Zhiping "James" Zhou)
Serial No: **10/767,121**)
Filed: **January 29, 2004**)
For: **INTEGRATED OPTICAL MULTIPLEXER AND DEMULTIPLEXER FOR**
 WAVELENGTH DIVISION TRANSMISSION OF INFORMATION

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The citation of information on the attached Form PTO/SB/08A, "Information Disclosure Statement By Applicant" is made pursuant to 37 C.F.R. §§ 1.97 and 1.98. Pursuant to 37 C.F.R. §1.98(d), inasmuch as this application relies on prior application Serial No. 10/281,790, filed October 28, 2002, now Patent No. 6,718,093, which relies on prior application Serial No. 09/722,989, filed November 27, 2000, which is now Patent No. 6,490,393 for an earlier filing date under 35 U.S.C. §120, no copy of any patent, publication or other information previously cited by or submitted to the Office in such prior application is being provided herewith.

Applicant further reserves the right to establish the patentability of the claimed invention over any of the listed information should they be applied as references, and/or to prove that some of the cited information may not be prior art, and/or to prove that some of the cited information may not be enabling for the teachings they purport to offer. This statement further should not be construed as the representation that an exhaustive search has been made, or that the information cited herewith is material, or that there does not exist information more material to the

on the information submitted herein. On the contrary, the Examiner is requested to conduct an independent and thorough review of the information, and to form independent opinions as to their significance.

It is respectfully requested that the Examiner initial and return copies of the enclosed PTO/SB/08A and to indicate in the official file wrapper of the above-identified patent application that each item of the cited information has been considered.

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to account no. 09-0528.

Date: 1/27/05



John J. Timar
Attorney for Applicant
Reg #32,497

Womble Carlyle Sandridge & Rice, PLLC
P.O. Box 7037
Atlanta, GA 30357-0037
(404) 962-7524 (Telephone)
(404) 870-8174 (Facsimile)

Docket No.: A185 1010.3

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for Form 1449/A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known	
		Application Number	10/767,121
		Filing Date	01/29/2004
		First Named Inventor	Zhiping "James" Zhou
		Group Art Unit	
		Examiner Name	
Sheet 2 of 4	Attorney Docket No.		A185 1010.3

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	25	5,506,676		Hendler et al.	04/09/1996	
	26	5,559,912		Agahi et al.	09/24/1996	
	27	5,566,024		Rauch	10/15/1996	
	28	5,568,574		Tanguay, Jr. et al.	10/22/1996	
	29	5,615,024		May et al.	03/25/1997	
	30	5,682,266		Meyers	10/28/1997	
	31	5,684,308		Lovejoy et al.	11/04/1997	
	32	5,730,888		Byron	03/24/1998	
	33	5,731,874		Maluf	03/24/1998	
	34	5,740,292		Strasser	04/14/1998	
	35	5,742,433		Shiono et al.	04/21/1998	
	36	5,760,937		Ishikawa et al.	06/02/1998	
	37	5,818,986		Asawa et al.	10/06/1998	
	38	5,825,520		Huber	10/20/1998	
	39	5,856,961		Brazas et al.	01/05/1999	
	40	5,959,747		Psaltis et al.	09/28/1999	
	41	5,963,684		Ford et al.	10/05/1999	
	42	6,011,884		Dueck et al.	01/04/2000	
	43	6,011,885		Dempewolf et al.	01/04/2000	
	44	6,118,561		Maki	09/12/2000	
	45	6,198,864		Lemoff et al.	03/06/2001	

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	1 ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent document, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language translation is attached.

Sheet	3	of	4
-------	---	----	---

Application Number	10/767,121
Filing Date	01/29/2004
First Named Inventor	Zhiping "James" Zhou
Group Art Unit	
Examiner Name	

Attorney Docket No.	A185 1010.3
---------------------	-------------

[illegible][illegible]Date
Considered

ATLANTA 434271v1

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Complete if Known	
		Application Number	10/767,121
		Filing Date	01/29/2004
		First Named Inventor	Zhiping "James" Zhou
		Art Unit	
		Examiner Name	
Sheet 4	of 4	Attorney Docket Number	A185 1010.3

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	47	Haidner et al., "Dielectric Binary Blazed Gratings", Applied Optics, Aug. 1993, Vol. 32, No. 22, pages 4276-7278	
	48	Farn, "Binary-Gratings-With-Increased-Efficiency", Applied Optics, Aug. 1992, Vo. 31, No. 22, pages 4453-4458	
	49	Advertisement from Applied Optics; Optical Society of America entitled "Dielectric Binary Blazed Gratings", Aug. 1, 1993	
	50	Advertisement from Applied Optics, Optical Society of America entitled "Binary Gratings With Increased Efficiency", Aug. 1, 1992	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.